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PTO/SB/05 (11-00)

Approved for use through 10/31/2002 OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	03485-P0002A
First Inventor	Jocelyn Tristram Gervais Wood
Title	Data Processing System For Initiating And Administering Financial Products
Express Mail Label No.	EL 574 212 315 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
- ☒ Applicant claims small entity status  
See 37 CFR 1.27.
- ☒ Specification [Total Pages **37**]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claims(s)
  - Abstract of the Disclosure
- ☒ Drawings(s) (35 USC 113) [Total Sheets **3**]
- ☒ Oath or Declaration [Total Pages **0**]
  - ☐ New executed (original or copy)
  - ☐ Copy from prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
    - ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
- ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - ☐ Computer Readable Form (CRF)
  - Specification Sequence Listing on:
    - ☐ CD-ROM or CD-R (2 copies); or
    - ☐ paper
  - ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
- ☒ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
- ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 of its equivalent.
- ☒ Other: Change of Address for Applicant and PCT/GB00/00596 Cover Sheet

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part of prior application No. PCT/GB00/00596 filed February 19, 2000  
Prior application information: Examiner Group/Art Unit: Priority Claimed: GB9903766.5 filed February 18, 1999

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

☒ Customer Number of Bar Code Label **24126** ☒ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name	Wesley W. Whitmyer, Jr.				
Address	St. Onge Steward Johnston & Reens LLC 986 Bedford Street				
City	Stamford	State	CT	Zip Code	06905-5619
Country	United States	Telephone	203 324-6155	Fax	203 327-1096

Name (Print/Type)	Wesley W. Whitmyer, Jr.	Registration No. (Attorney/Agent)	33,558
Signature	[Signature]		Date 8/20/01

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

## Complete if Known

Application No.	- Pending
Filing Date	August 20, 2001
First Named Inventor	Jocelyn Tristram Gervais Wood
Examiner Name	
Group Art Unit	

TOTAL AMOUNT OF PAYMENT	(\$)	355.00	Attorney Docket Number	03485-P0002A WWW
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## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payment to:

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Number

19-4516

Deposit  
Account  
Name

St. Onge Steward Johnston &amp; Reens LLC

- ☒ Charge Any Additional Fee Required  
Under CFR 1.16 and 1.17  
☒ Applicant claims small entity status  
See 37 CFR 1.27

2. ☒ Payment Enclosed

☒ Check ☐ Credit Card ☐ Money ☐ Other  
Order

## FEE CALCULATION

## BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	355.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1)					(\$)
					355.00

## EXTRA CLAIMS FEES

Total Claims	Extra Claims	Fee from Below	Fee Paid
14	-20**=	0	X
1	-3**=	0	X
0		0	X

  

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claims, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

\*\* or number previously paid, if greater; For Reissues, see above

SUBTOTAL (2) (\$)

-0-

\* Reduced by Basic Filing Fee paid

SUBTOTAL (3) (\$)

-0-

SUBMITTED BY St. Onge Steward Johnston &amp; Reens LLC

Complete (if applicable)

Name (Print Type)	Wesley W. Whitmyer, Jr.	Registration No. (Attorney/Agent)	33,558	Telephone	203 324-6155
Signature				Date	8/20/01

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Year	1970	1971	1972	1973	1974	1975	1976	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035	2036	2037	2038	2039	2040	2041	2042	2043	2044	2045	2046	2047	2048	2049	2050	2051	2052	2053	2054	2055	2056	2057	2058	2059	2060	2061	2062	2063	2064	2065	2066	2067	2068	2069	2070	2071	2072	2073	2074	2075	2076	2077	2078	2079	2080	2081	2082	2083	2084	2085	2086	2087	2088	2089	2090	2091	2092	2093	2094	2095	2096	2097	2098	2099	2100
1970	1971	1972	1973	1974	1975	1976	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035	2036	2037	2038	2039	2040	2041	2042	2043	2044	2045	2046	2047	2048	2049	2050	2051	2052	2053	2054	2055	2056	2057	2058	2059	2060	2061	2062	2063	2064	2065	2066	2067	2068	2069	2070	2071	2072	2073	2074	2075	2076	2077	2078	2079	2080	2081	2082	2083	2084	2085	2086	2087	2088	2089	2090	2091	2092	2093	2094	2095	2096	2097	2098	2099	2100	

Applicant	Jocelyn Tristram Gervais Wood
Serial No. 09/	Filing Date: August 20, 2001
Title of Application	Data Processing System For Initiating And Administering Financial Products
Group Art Unit	Examiner

### **Change of Address**

Please note the address of the applicant, Jocelyn Tristram Gervais Wood, has been changed to:

Respectfully submitted,

W. W. Strafer

Wesley W. Whitmyer, Jr., Registration No. 33,558  
Attorney for Applicant  
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